

# Executive Branch Personnel

## Public Financial Disclosure Report (OGE Form 278e)

### Filer's Information

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**Drake, Thelma Day**

Administrator, Federal Transit Administration, Department of Transportation

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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Names of Congressional Committees Considering Nomination:

- **Committee on Banking, Housing, and Urban Affairs**
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Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

**/s/ Drake, Thelma Day [electronically signed on 12/24/2017 by Drake, Thelma Day in Integrity.gov]**

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Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

**/s/ Kaleta, Judith, Certifying Official [electronically signed on 02/27/2018 by Kaleta, Judith in Integrity.gov]**

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Other review conducted by

**/s/ Carlson, Terence W, Ethics Official [electronically signed on 02/27/2018 by Carlson, Terence W in Integrity.gov]**

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U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 03/14/2018 by Apol, David in Integrity.gov]

## 1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	City of Norfolk, VA	Norfolk, Virginia	Local government	Assistant Director Public Works - Transportation	9/2016	Present
2	City of Norfolk, VA	Norfolk, Virginia	Local Government	Strategic Transportation Planner	5/2015	9/2016
3	Virginia Hospital and Healthcare Association	Glen Allen, Virginia	Association of Hospital and Healthcare organizations	Regional Director for Community and Member Outreach	9/2014	9/2016
4	The Healing Place	Norfolk, Virginia	Non-Profit	Board Member	1/2015	9/2017
5	The Hampton Roads Home Team	Norfolk, Virginia	Corporation	Vice President	12/2004	Present

## 2. Filer's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	City of Norfolk, VA	N/A		salary	\$177,677
2	Virginia Hospital and Healthcare Association	N/A		Salary	\$55,080
3	Home Depot	N/A	\$1,001 - \$15,000		None (or less than \$201)
4	Oracle Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	Putnam Growth Opportunities A	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	Balanced Portfolio C American Funds	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	American Investors Life Insurance Co., Inc., BPA Select Annuity 12 (fixed annuity)	N/A	\$100,001 - \$250,000		None (or less than \$201)
8	Commonwealth of Virginia, defined benefit plan (value not readily ascertainable)	N/A		retirement payments (monthly)	\$2,378
9	City of Norfolk Defined Benefit Plan	N/A	\$1,001 - \$15,000		None (or less than \$201)

### 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	City of Norfolk	Norfolk, Virginia	I will roll my funds out of this unvested defined benefit plan.	9/2016
2	Commonwealth of Virginia	Richmond, Virginia	I will continue to participate in this defined benefit plan.	1/2014

### 4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	City of Norfolk, VA	Norfolk, Virginia	I am an Assistant Director of Public Works and have headed the Transportation Division since Sept. 2016. I am temporarily serving as both the Assistant Public Works director and the Government Relations/Legislative Liaison.  In 2015, I was hired by the City of Norfolk in a part time role as a Strategic Transportation Planner.
2	Virginia Hospital and Healthcare Association	Glen Allen, Virginia	I was the outreach person for the Hampton Roads region to coordinate with Hospital members, the community and our VA legislators

## 5. Spouse's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	American Funds Europacific Growth Fund CI A	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	American Funds Fundamental Investors Fund A	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	American Funds Growth Fund of America	Yes	\$15,001 - \$50,000		None (or less than \$201)
4	American Funds New Economy Fund CI A	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	American Funds Capital World Grw&Inc Fund A	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	American Funds American Balanced Fund Class C	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	Fidelity Investments Magellan Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
8	Invesco Global Growth Class A	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9	Invesco Global Health Care Class A	Yes	\$1,001 - \$15,000		None (or less than \$201)
10	Ridgeworth Silvant LRG Cap GRStk CI A	Yes	\$1,001 - \$15,000		None (or less than \$201)
11	Vanguard FTSE Developed Market ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
12	American Equity Retirement Gold (fixed deferred indexed annuity)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13	Advantage Oil & Gas Ltd.	N/A	\$1,001 - \$15,000		None (or less than \$201)
14	Home Depot	N/A	\$1,001 - \$15,000		None (or less than \$201)
15	Time Warner New Com New	N/A	\$1,001 - \$15,000		None (or less than \$201)
16	The Hampton Roads Home Team - sub S-Corp (real estate sales)	No			
16.1	Trademark: The Heart of Hampton Roads (value unascertainable)	N/A			None (or less than \$201)
16.2	OSO Music, LLC (holds cash account at a US bank)	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.3	Thelma Drake and Associates (holds cash account at a US bank)	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.4	Residential real estate sales and rental property management - S-corp income	N/A	\$15,001 - \$50,000	business income	

## 6. Other Assets and Income

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Duke Energy Corp Stock		N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
2	Dominion Resources Inc Stock		N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
3	Dominion Resources Inc Stock		N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4	VCSP/College America (529) - American Funds Capital World Growth & Income A-529		Yes	\$1,001 - \$15,000		None (or less than \$201)
5	U.S. Bank Account # 1 (cash checking)		N/A	\$50,001 - \$100,000		None (or less than \$201)
6	U.S. Bank Account # 2 (cash savings)		N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
7	U.S. Bank Account # 3 (cash savings)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8	U.S. Bank Account # 4 (cash checking and saving)		N/A	\$100,001 - \$250,000		\$201 - \$1,000
9	U.S. Bank Account # 5 (cash checking)		N/A	\$15,001 - \$50,000		None (or less than \$201)
10	Mass Mutual Whole Life Insurance		N/A	\$50,001 - \$100,000		None (or less than \$201)
11	Norfolk, VA residential investment property #1	See Endnote	N/A	\$100,001 - \$250,000	Rent or Royalties	\$15,001 - \$50,000
12	Norfolk, VA residential investment property #2	See Endnote	N/A	\$100,001 - \$250,000	Rent or Royalties	\$15,001 - \$50,000
13	Norfolk, VA residential investment property #3	See Endnote	N/A	\$100,001 - \$250,000	Rent or Royalties	\$15,001 - \$50,000
14	Norfolk, VA commercial investment property #1		N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15	Norfolk, VA residential investment property #4	See Endnote	N/A	\$100,001 - \$250,000	Rent or Royalties	\$15,001 - \$50,000
16	Norfolk, VA residential investment property #5	See Endnote	N/A	\$50,001 - \$100,000	Rent or Royalties	None (or less than \$201)
17	Norfolk, VA residential investment property #6	See Endnote	N/A	None (or less than \$1,001)	Rent or Royalties Capital Gains	\$50,001 - \$100,000
18	Norfolk, VA residential investment property #7	See Endnote	N/A	None (or less than \$1,001)	Rent or Royalties Capital Gains	\$50,001 - \$100,000
19	Loan (receivable) from Jerry Collier for residential property #6 and #7, Norfolk, VA		N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
20	Loan (receivable) from Douglas Scott Camomile for residential property #8, Norfolk, VA	See Endnote	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
21	Loan (receivable) from Malcolm B. Harris for residential property #9, Norfolk, VA.	See Endnote	N/A	\$50,001 - \$100,000	Interest	\$5,001 - \$15,000
22	Loan (receivable) from Mc Charter, LCC (boat rental company)		N/A	\$15,001 - \$50,000		None (or less than \$201)
23	Mass Mutual Whole Life Policy		N/A	\$50,001 - \$100,000		None (or less than \$201)
24	Norfolk, VA residential investment property #8		N/A	None (or less than \$1,001)	Rent or Royalties Capital Gains	\$15,001 - \$50,000
25	U.S. brokerage cash management account (cash)		N/A	\$1,001 - \$15,000		None (or less than \$201)

## 7. Transactions



(N/A) - Not required for this type of report

## 8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Wells Fargo		Exercised Line of Credit	\$50,001 - \$100,000	2017	3%	on demand
2	Wells Fargo	See Endnote	Exercised Line of Credit	\$10,001 - \$15,000	2017	3%	on demand

## 9. Gifts and Travel Reimbursements

(N/A) - Not required for this type of report

## Endnotes

PART	#	ENDNOTE
6.	11	Joint ownership with spouse
6.	12	Joint ownership with spouse
6.	13	joint ownership with spouse
6.	15	joint ownership with spouse
6.	16	owned by spouse, and another person
6.	17	Joint ownership with spouse
6.	18	Joint ownership with spouse

PART	#	ENDNOTE
6.	20	Joint ownership with spouse
6.	21	Owned by filer, spouse, and two other people.
8.	2	This note was paid off with the sale of the property

# Summary of Contents

## 1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

## 2. Filer's Employment Assets & Income and Retirement Accounts

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

## 3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

#### **4. Filer's Sources of Compensation Exceeding \$5,000 in a Year**

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

#### **5. Spouse's Employment Assets & Income and Retirement Accounts**

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

#### **6. Other Assets and Income**

Part 6 discloses each asset, not already reported, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 of income was produced). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

#### **7. Transactions**

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

## **8. Liabilities**

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

## **9. Gifts and Travel Reimbursements**

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

## Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

## Public Burden Information

This collection of information is estimated to take an average of three hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).

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